

**TRANSMITTAL TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)**

3442/1H674US2

**10/070344**

INTERNATIONAL APPLICATION NO.  
PCT/US00/33740

INTERNATIONAL FILING DATE  
December 13, 2000

PRIORITY DATE CLAIMED  
December 13, 1999

**TITLE OF INVENTION**

**AUTOMATED INVESTMENT ADVISORY SOFTWARE AND METHOD**

**APPLICANT(S) FOR DO/EO/US**

Dirk PETERS; Eric WEISS

Applicant herewith submits to the United States Designated/Elected office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39 (1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2) )
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371 (c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c) (3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (Unexecuted)
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98
12. ☐ An assignment document for recording. A **separate** cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney an/or address letter.
16. ☐ Other items or information:

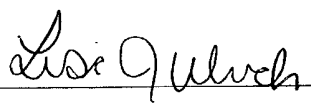
**EXPRESS MAIL CERTIFICATE**

**2/28/02 2039138433US**  
Date Label No.

I hereby certify that, on the date indicated above, this paper or fee was deposited with the U.S. Postal Service & that it was addressed for delivery to the Assistant Commissioner for Patents, Washington, DC 20231 by "Express Mail Post Office to Addressee" service.

**D B Peck**  
Name (Print)

**D B Peck**  
Signature

U.S. APPLICATION NO. (if known sec 37 C.F.R. 1.50) <b>107 070344</b>				INTERNATIONAL APPLICATION NO.: PCT/US00/33740		Attorney's Docket Number 3442/1H674US2	
17. <input checked="" type="checkbox"/> The following fees are submitted:  <b>Basic National Fee (37 CFR 1.492 (a)(1)-(5)):</b> Search Report has been prepared by the EPO <input type="checkbox"/> or JPO <input type="checkbox"/> <span style="float:right">\$890.00</span>  International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... <span style="float:right">\$710.00</span>  No international preliminary examination fee paid to USPTO(37 CFR 4.482) but international search fee paid to USPTO (37 CFR 1.445 (a) (2))... <span style="float:right">\$740.00</span>  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... <span style="float:right">\$1,040.00</span>  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).... <span style="float:right">\$100.00</span>  <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>						CALCULATIONS	PTO USE ONLY
						<b>\$100.00</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).						\$	
Claims	Number Filed	Number Extra	Rate				
Total Claims	23-20		3 X \$18.00	\$54.00			
Independent Claims	3-3		X \$80.00	\$00			
Multiple dependent claims(s) (if applicable) + 280				\$0.00			
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$154.00</b>			
Reduction by 1/2 for filing by small entity, if applicable.				\$77.00			
<b>SUBTOTAL =</b>				<b>\$77.00</b>			
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 39 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$			
<b>TOTAL NATIONAL FEE =</b>				<b>\$77.00</b>			
Fee for recording the enclosed assignment (37 CFR 1.21(h)). the assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$40.00			
<b>TOTAL FEES ENCLOSED =</b>				<b>\$77.00</b>			
				Amount to be: refunded	\$		
				charged:	\$		
a. <input checked="" type="checkbox"/> A check in the amount of \$77.00 to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. 04-0100 in the amount of \$ to cover the above fees. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account 04-0100. A duplicate copy of this sheet is enclosed.  <b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>  SEND ALL CORRESPONDENCE TO:  Lisa Ulrich Darby & Darby P.C. 805 Third Avenue New York, New York 10022-7513							
SIGNATURE 							
NAME Lisa Ulrich							
REGISTRATION NO. 45,168							